

Pilot Operations Manual

For Residential Care Facilities for the Elderly (RCFEs)

Pilot Program Operations Manual

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Pilot Operations Manual (for RCFEs)

Overview

Introduction

Community Care Licensing Division aims to enhance the quality of life for residents and promote quality of care through a new inspection process. This new approach is intended to better align with the broader mission of the Department, while building upon past successes and lessons learned.

This operations manual provides instruction for the Pilot Program for inspecting Residential Care Facilities for the Elderly (RCFEs), including

- the program's goals and benchmarks
 - new concepts and processes for conducting inspections, and
 - new inspection tools, documents, scripts and forms.
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Scope

This Pilot Program operations manual has been developed only for use in Residential Care Facilities for the Elderly. Introducing these tools and concepts to the inspection process for other facility types will be addressed in future phases of this project.

Process

The Pilot Program has a phased development and implementation process that includes ongoing staff, stakeholder and Legislative consultation throughout. The project begins with the Adult and Senior Care Program, and will later include the Children's Residential and Child Care Programs.

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Operations Manual Support Material

In addition to this Pilot Program Operations Manual, readers should consult the **Operations Manual Support Material**, which contains the FAS Inspection Tool Manual and the Pilot Plan, as well as examples of the various documents, scripts and forms discussed in this Operations Manual.

Part 1

The Pilot Program

Overview

In Part 1

Part 1 of this manual provides a foundation in the Pilot Program's new components, forms and inspection workflow.

Goals of the Pilot Program

The goals of the Pilot Program's inspection process are to

- test process measures when using comprehensive tools for consistency and thoroughness of inspections, while using the data to fine-tune the tools
 - identify correct triggers for use of the Specialty Tools
 - provide Licensing Program Analysts (LPAs) with the opportunity to provide feedback on the tools, while identifying potential areas for training
 - evaluate the proper usage of the inspection domains, including the appropriate placement of regulations and statutes within each tool
 - identify clear and consistent expectations for licensees
 - work with licensees to identify and address potential challenges specific to the implementation of tools, and
 - collaborate with stakeholders in ensuring the tools adequately assess the performance of facilities as it directly relates to the experiences of the residents in care.
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Chapter 1

Pilot Program Operations

Overview

In this chapter Chapter 1 explains the Pilot Program and the means and metrics by which program data is gathered and measured.

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1-100: Pilot Program Testing

Overview

In this section This section details the means by which the Pilot Program is measured for efficiency and effectiveness.

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1-101: General Information

Role of the Pilot Program

The Pilot Program exists to field test new tools and methods for inspecting licensed facilities. Initially, participation will be limited but mandatory for every Regional Office. The data collected during the pilot will be used to refine and streamline the inspection process to cultivate greater efficiency while retaining the integrity of the Department's oversight role.

Pilot Program participation

The Pilot Program calls for a required level of participation from each Regional Office (RO), the greater of either

- ten-percent of Licensing Program Analysts (LPAs), or
- a minimum of two LPAs.

Note: In keeping with this plan, the majority of ROs will have two LPAs participating in Pilot Program testing, with only the two largest ROs (Monterey Park and Woodland Hills) participating with three LPAs.

Role of the Licensing Program Analyst

The Licensing Program Analyst (LPA) is the key licensing representative who is responsible for carrying out the Community Care Licensing Division's mission in the field.

In this Pilot Program, selected LPAs are trained to use new inspection tools and processes, and gather program data while using those tools in the field.

Reliability testing

In order to determine the consistency with which the Pilot Program tools are used, **inter-rater reliability testing** is conducted.

Inter-rater reliability testing allows measurement of the agreement between two analysts during the same inspection. The point of the inter-rater reliability is not for the analysts to come to consensus on any one item, but rather to highlight items that may need further clarification or training.

Note: The results of the study help identify areas where

- procedural requirements are not clear, and
 - additional training or written guidance is needed.
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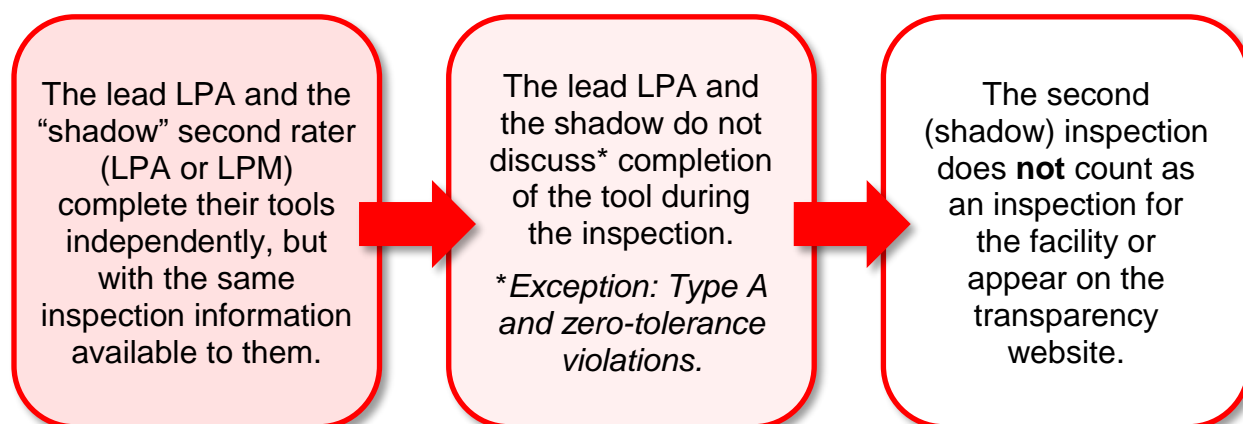
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1-101: General Information, Continued

How does inter-rater reliability testing work?

The inter-rater reliability study consists of a Licensing Program Analyst (LPA) or Licensing Program Manager (LPM) performing a “shadow” inspection in tandem with the lead LPA performing the assigned inspection.

The graphic below shows the shadow inspection process.



Discussing Type A and zero-tolerance violations

Important! Normally in an inter-rater inspection, the “shadow” second rater must not communicate his or her findings with the lead Licensing Program Analyst (LPA) performing the assigned inspection.

However, if either the lead LPA or the shadow observes an immediate risk to the health, safety or personal rights of persons in care, they

- **must** discuss the observation with the other rater, but
- **must not** discuss how the observation should be noted in the tool.

How many “shadow” inspections are needed?

For the Pilot Program, inspection “shadowing” is performed on two inspections in each Regional Office (preferably each with a different lead Licensing Program Analyst).

Shadow inspections may be chosen at random and conducted at any time during the Pilot, so long as the two required inspections are conducted.

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1-101: General Information, Continued

**Data
gathering and
conclusions**

At the conclusion of the Pilot Program for inspections of Residential Care Facilities for the Elderly, Community Care Licensing Division will collect and analyze data regarding

- **effectiveness** of the new inspection tools
 - **efficiency** of the new inspection processes
 - **consistency** of inspection outcomes, and
 - **viability** of the Pilot Program procedures for statewide deployment.
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**Who should
the LPA
contact for
support?**

If participating Licensing Program Analysts (LPAs) have questions relating to the Pilot Program, they may contact their Regional Office Pilot Program Licensing Program Manager.

1-102: The Inspection Process

Purpose This section lays out the general process of conducting a facility inspection using the Pilot Program methods, forms and tools.

Conducting an inspection: notes The table below outlines the procedure for conducting a Pilot Program inspection. Details of this workflow are discussed in this section and in “Part 2: Procedures and Scripts.”

Note: Type A and Type B violations are detailed in the Evaluator Manual, 3-4000: Reference Material for Facility Inspection.

Item	Description
Stage 1: Planning the inspection	Perform facility file review and prepare the inspection package.
Stage 2: Conducting the on-site inspection	<ul style="list-style-type: none"> • Inspection is conducted at the facility using a Pilot Program inspection tool. • Inspection is documented using a Facility Evaluation Report (LIC 809). • An in-depth inspection of a given specialty domain is triggered when <ul style="list-style-type: none"> – the Comprehensive Tool is being used, and – at least one Type A or two Type B violations are cited in that specialty domain. • When an in-depth inspection is performed in a specialty domain <ul style="list-style-type: none"> – that specific Specialty Tool is used to complete the in-depth process – the facility inspection is then resumed, continuing with the next domain in the Comprehensive Tool. • Any citations are documented and issued using the LIC 809D form. • If a technical violation is found, document it using Advisory Notes (LIC 9102).
Stage 3: Concluding the inspection	Conduct the exit interview with the licensee and perform inspection wrap-up.
Follow-up	File completed documents and take any required post-inspection actions.

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1-102: The Inspection Process, Continued

Three stages of a facility inspection

The table below shows the three-stage process the Licensing Program Analyst (LPA) must use to conduct an on-site facility inspection in the Pilot Program.

Stage	Description	
1	Planning the Inspection (before traveling to the facility)	
	Step	Action
	1a	In-office facility file review.
	1b	Document the facility file review.
	1c	Plan how the facility inspection will be conducted.
	1d	Gather information to take into the field for reference.
2	Conducting the Inspection (at the facility)	
	Step	Action
	2a	Greet the licensee or facility representative using the Introductory Script.
	2b	Conduct the inspection using the appropriate Pre-Licensing or Comprehensive Tool. <ul style="list-style-type: none">• Specialty Tools are triggered and used to complete the inspection if one Type A or two Type B violations are found while using the Comprehensive Tool.• The inspection is documented on a Facility Evaluation Report (LIC 809), with other supporting forms as needed.
3	Concluding the Inspection: (before departing the facility)	
	Step	Action
	3a	Conduct an exit interview with the licensee or facility representative, including <ul style="list-style-type: none">• all violations and citations issued in this inspection• all advisory notes issued, and• the Plan of Correction for this inspection.
	3b	Determine if additional follow-up is needed.
	3c	Use the Closing Statement Script upon leaving the facility.

1-103: Stage 1: Planning the Inspection

Purpose	This section provides details regarding the inspection planning stage.
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Planning the inspection	<p>The planning stage involves the Licensing Program Analyst (LPA)</p> <ul style="list-style-type: none">• using the Facility Inspection Checklist (LIC 9123) to conduct and document completion of the in-office facility file review• planning, based on careful review of the facility file, how best to conduct the facility inspection in the field, and• preparing the inspection package: arranging to bring pertinent forms, files, and documents, on a case-by-case basis, along for use or reference during the inspection.
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Facility file review	<p>The facility file review must include any</p> <ul style="list-style-type: none">• past deficiencies• waivers• admission agreements• the plan of operation, and• documents were approved during the application/licensure process. <p>The Licensing Program Analyst must ensure that</p> <ul style="list-style-type: none">• any subsequent revisions have been reviewed, and• the date of approval has been entered in the file.
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Using the LIC 9123	<p>The Facility Inspection Checklist (LIC 9123) covers many of the items that need to be checked during facility file review. The LIC 9123 is intended for Licensing Program Analyst (LPA) use only, and a copy is not to be provided to the facility.</p> <p>LPAs use the LIC 9123 at the on-site inspection to follow-up on items identified during the facility file review.</p>
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1-103: Stage 1: Planning the Inspection, Continued

LPA data resources

Additional information regarding the facility is available to the Licensing Program Analyst (LPA) via the Licensing Information System (LIS) and the Field Automation System (FAS).

- A current Facility Profile (LIC 055) form may be reviewed for accuracy and updated as appropriate.
 - Any new information, such as special conditions, may be noted in the "Comments" section of the form.
 - The Licensing Program Analyst should verify the current client population is correctly identified.
 - A current Facility Personnel Summary Report (LIC 531), available on the LIS, can be compared with the facility file's Personnel Report (LIC 500) form.
 - Criminal record clearances should be checked in this manner.
-

Preparing the inspection package

Based on the information obtained during the planning phase, preparation of the inspection package helps ensure a more thorough and efficient inspection, by highlighting

- items to check during the inspection, and
- questions to ask at the facility.

Note: When preparing the annual inspection package, the Licensing Program Analyst must take care to safeguard any confidential documents taken into the field, or pulled up on a laptop or tablet from Field Automation System (FAS).

Inspection package documents

In addition to documents and forms suggested by review of the facility file, it is often prudent to include copies of certain forms in the annual inspection package, in the event they are needed during the inspection. These forms include:

- Affidavit Regarding Client/Resident Cash Resources (LIC 400)
- Facility Personnel Summary Report (LIC 500)
- Designation of Administrative Responsibility (LIC 308)
- Proof of Correction (LIC 9098).

The Facility Inspection Checklist (LIC 9123) used during facility file review should also be available for cross-checking against the facility's on-site documents.

1-104: Stage 2: Conducting the Inspection

Purpose

This section addresses details of inspecting the facility.

Using the introduction script

Upon arrival at the facility, the Licensing Program Analyst introduces him/herself to the licensee or facility representative, using the suggested **Introduction Script** as a guide, to make them aware the facility will be

- inspected using Pilot Program methods and tools, and
- cited for any immediate or potential violations found during the inspection.

For details of the Introduction Script, see 3-101: Introduction Script.

Note taking during the inspection

Before commencing the on-site inspection, it is best practice for the Licensing Program Analyst (LPA) to request that the facility representative accompanying them on the inspection bring a pad of paper and pen, so that the facility representative may take notes as areas of concern are discovered during the inspection.

Any notes taken by the facility representative are distinct from those taken by the LPA and are intended to help the facility track problem areas for later correction.

Entrance Conference Worksheet

Upon entering the facility, the licensee or facility representative is presented with the **Entrance Conference Worksheet** and told the items on the sheet will need to be made available for inspection.

For more information on the Entrance Conference Worksheet, see 2-204: Entrance Conference Worksheet.

Verify contact information

As part of the inspection process, the Licensing Program Analyst (LPA) must verify the contact information and email address currently on file for the facility is correct.

If incorrect, the LPA must update the Licensing Information System (LIS) with the new data upon return to the Regional Office.

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1-104: Stage 2: Conducting the Inspection, Continued

The inspection process

When beginning an inspection, the Licensing Program Analyst (LPA) follows a sequential methodology, as shown in the table below.

Step	Action
1	Inspect the facility rooms and grounds.
2	Conduct record review.
3	Conduct interviews of residents and staff.

Room inspections

The Licensing Program Analyst must inspect **10 rooms** or **10% of all rooms** in the facility, whichever is greater.

Resident record review

The Licensing Program Analyst must review **10 resident records** or **10% of all resident records** in the facility, whichever is greater.

Note: In large facilities which include independent residents in the capacity, the review is of 10 or 10% of the resident records for those residents residing in the assisted living portion of the facility.

Resident interviews

The Licensing Program Analyst must conduct interviews with 50% of the residents

- whose records were reviewed, and
- who are present at the time of the on-site inspection.

Example: In a large facility with 200 residents in the assisted living portion of the facility, 20 resident records (10%) are reviewed and 10 of those residents (50% of 20) are selected for interviews. If only 9 of those residents are available for interview at the time of the on-site inspection, then 9 interviews are conducted to satisfy the requirement.

Interview of the resident council president

Important! The Licensing Program Analyst must include an interview with the facility's resident council president (if applicable), if that individual is present at the facility during the on-site inspection.

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1-104: Stage 2: Conducting the Inspection, Continued

Staff record review

The Licensing Program Analyst must review **10 staff records** or **10% of all staff records** in the facility, whichever is greater.

Staff interviews

The Licensing Program Analyst must conduct interviews with 50% of the facility staff

- whose records were reviewed, and
- who are present at the time of the on-site inspection.

Example: In a facility with 25 staff, 10 staff records (greater than 10%) are reviewed and 5 of those staff members (50% of 10) are selected for interviews. All 5 selected staff are present at the time of the on-site inspection, and so those 5 are interviewed, satisfying the staff interview requirement.

Conducting the inspection

In the Pilot Program, the Comprehensive Tool is used to conduct both the post-licensing and annual inspections. While using this tool, the Licensing Program Analyst must

- document the inspection using the Facility Evaluation Report (LIC 809), and
 - make use of supporting forms – such as the Confidential Names (LIC 811) or Detail Support Information (LIC 812) form – as needed.
-

Document review

When checking documents at the facility using the Facility Inspection Checklist (LIC 9123), any requests to the licensee for additional information must be documented in the facility file. The Licensing Program Analyst can document the request using a

- Facility Evaluation Report (LIC 809)
 - Contact Sheet (LIC 185), or
 - Detail Supportive Information (LIC 812) form.
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1-104: Stage 2: Conducting the Inspection, Continued

Triggering an in-depth inspection

While using the Comprehensive Tool to conduct an inspection, an in-depth inspection is triggered if

- one Type A violation is found, or
- two Type B violations are found in a single domain.

Once triggered, the automated tool displays the Specialty Tool for the domain that provided the trigger. The Licensing Program Analyst continues using the Comprehensive Tool when the Specialty Tool has been completed.

Note: Once use of a Specialty Tool is triggered and completed in a given domain during an inspection, that entire domain is considered complete. Thus, a given domain cannot trigger an in-depth inspection twice during the same inspection.

Timing the inspection

As part of the Pilot Program, all the tools are automatically timed for duration of use as the Licensing Program Analyst (LPA) performs the inspection. This timer is part of the inspection tool software. It operates in the background, does not require LPA intervention, and will not impede the use of the tools. The data being collected by the timer will allow Pilot Program staff to gauge the efficiency with which the tools are operated by LPAs in the field.

The table below summarizes the timer's functionality.

If ...	Then ...
the LPA begins working with a <ul style="list-style-type: none"> • Pre-Licensing Tool, or • Comprehensive Tool 	the timer will automatically start running in the background.
a Specialty Tool is triggered	<ul style="list-style-type: none"> • the timer for the Comprehensive Tool will pause, and • a new timer for the Specialty Tool will start.
a Specialty Tool is completed	<ul style="list-style-type: none"> • the timer for the Specialty Tool will stop, and • the timer for the Comprehensive Tool will resume.
if the LPA needs to pause any tool timer due to an external delay to the inspection	the timer may be manually paused with a mouse-click; it will automatically resume when use of the tool is resumed.

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1-104: Stage 2: Conducting the Inspection, Continued

Citations and other LPA actions

In the Pilot Program, the Licensing Program Analyst (LPA) cites for violations and takes other actions regarding the facility as required for a non-Pilot Program inspection and as authorized by the California Residential Care Facilities for the Elderly Act.

For details, the LPA should consult the Evaluator Manual, particularly

- 3-3000: Reference Material for Documentation, and
 - 3-4000: Reference Material for Facility Inspection.
-

Clicking “Complete Inspection” on the LIC 809

Important! When all necessary inspection tools have been completed in an on-site inspection (even if no deficiencies were found), the Licensing Program Analyst (LPA) must click the **“Complete Inspection”** button on the Facility Evaluation Report (LIC 809) form to transfer the data from the tool(s) to the form(s).

If the LPA fails to click “Complete Inspection” as required, an accurate record of the inspection has not been captured, even if all other on-site inspection steps were followed.

Completing the inspection

The Licensing Program Analyst (LPA) has completed the on-site inspection when

- the Pre-Licensing or Comprehensive Tool is complete
 - any Specialty Tools that were triggered during the inspection are complete
 - the Facility Evaluation Report (LIC 809) is complete, and
 - any other supporting forms used to document the inspection are complete.
-

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1-104: Stage 2: Conducting the Inspection, Continued

Multi-day inspections

If an on-site inspection is not completed on the first day, the Licensing Program Analyst (LPA) must follow the procedure shown in the table below to ensure accurate recording of the Pilot Program data.

Step	Action
1	<p>When the LPA runs out of time on the first day, they must</p> <ul style="list-style-type: none"> • click “Complete Inspection” on the Facility Evaluation Report (LIC 809) to transfer notes and data to the forms • sign the partially completed LIC 809 (and LIC 809D or other forms, if necessary) • have the licensee or facility representative sign the partially completed LIC 809 (and other forms, if necessary), and • leave a copy of the partially completed LIC 809 (and other forms, if necessary) at the facility.
2	<p>On the second day, the LPA must</p> <ul style="list-style-type: none"> • start a new LIC 809 form and click “Continuation” • open a new copy of the inspection tool, and skip down to the position in the tool where the LPA left off on the previous day • proceed with the inspection, with the understanding that there is no need to replicate the previous day’s work, which has already been captured, signed and a copy left with the facility.
3	Repeat steps 1 and 2, if necessary, until the on-site inspection is concluded.

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1-104: Stage 2: Conducting the Inspection, Continued

Joint-inspections

When a larger facility is inspected, it may require more than one Licensing Program Analyst (LPA) to complete the inspection.

Before going on-site to conduct a joint inspection, the lead LPA must determine (during Stage 1: Planning the Inspection) how the assisting LPAs will be assigned at the inspection site, so that the inspection may proceed smoothly at the facility.

The table below shows the procedure for conducting a joint-inspection.

Step	Action
A	The lead Licensing Program Analyst (LPA) is responsible for completing the inspection tool, the Facility Evaluation Report (LIC 809) form, and other required documentation.
B	Assisting LPAs complete their particular portions of the inspection using a separate, blank copy of the inspection tool on their own.
C	Before the inspection has concluded, the assisting LPAs meet with the lead LPA and the data collected by each assisting LPA is entered into the lead LPAs inspection tool.
D	The lead LPA, with all collected data entered into his or her inspection tool, now completes the remaining requirements of the inspection.

Using the Pilot Program tools

The tools and forms referenced in this section are described in greater detail in

- 2-100: The Pilot Program Tools
 - 2-200: Documents and Forms, and
 - 3-100: Scripts and Questions.
-

1-105: Stage 3: Concluding the Inspection

Purpose	This section discusses details of concluding the inspection and exiting the facility.
The exit interview	<p>When an on-site inspection has been completed, the Licensing Program Analyst (LPA) must conduct an Exit Interview with the licensee or facility representative, as described in the Evaluator Manual, 3-4000: Reference Material for Facility Inspection.</p> <p>The Exit Interview allows the licensee an opportunity to</p> <ul style="list-style-type: none">• understand any citations issued• receive consultation from the LPA on the inspection's findings, and• create a Plan of Correction, as needed.
Using the Closing Statement Script	<p>The Licensing Program Analyst may conclude the inspection using the suggested Closing Statement Script as a guide. The licensee or facility representative must be made aware of his or her options should he or she have questions or issues regarding the use of Pilot Program methods and tools in the inspection of their facility.</p> <p>For details of the Closing Statement Script, see 3-104: Closing Statement Script.</p>
The Pilot Program survey	<p>As part of the Closing Statement, the Licensing Program Analyst (LPA) must inform the licensee or facility representative that he or she may give feedback to the Department regarding the Pilot Program tools and inspection through an optional survey that will be emailed to the facility. Data from returned surveys will contribute to the development of the new inspection process.</p>
Inspection follow-up	<p>After the Licensing Program Analyst (LPA) departs the facility, it is necessary to perform the required follow-up activities for each inspection, including updates to the Control Book to show</p> <ul style="list-style-type: none">• Plan of Correction due dates• cleared deficiencies, and• assessment of civil penalties.

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1-105: Stage 3: Concluding the Inspection, Continued

Additional follow-up requirements

Depending on the circumstances of the case, it may be necessary for the Licensing Program Analyst to pursue actions such as

- discussing the case with the Licensing Program Manager
 - holding an office meeting with the licensee for
 - discussing a compliance plan
 - an informal conference, or
 - a noncompliance conference
 - providing information to the licensee regarding the Technical Support Program, or
 - referring the case to Legal Division for possible action.
-

Follow-up: contacting other groups

When following-up on a case, the Licensing Program Analyst may need to contact any of the following groups for action or support:

- Community Care Licensing Division Audit Section
 - Legal Division
 - other public agencies (such as the local planning authority or fire authority), or
 - the placement agency, if applicable.
-

Handling and filing inspection documents

As with non-Pilot Program inspections, the signing, filing and distributing of all inspection-related documents follows the procedures and requirements described in the Evaluator Manual, 3-3000: Reference Material for Documentation.

1-106: Post-Inspection Survey Tool

What is the Post-Inspection Survey Tool?

The ***Post-Inspection Survey Tool*** is a questionnaire completed by each Licensing Program Analyst (LPA) who conducts a Pilot Program inspection.

The Post-Inspection Survey Tool completed by LPAs should **not** be confused with the Facility Feedback Survey emailed to licensees after a facility inspection has been completed.

Using the Post-Inspection Survey Tool

The Post-Inspection Survey Tool exists as part of the set of Pilot Program tools in the electronic Field Automation System (FAS). After the Licensing Program Analyst (LPA) completes a Pilot Program inspection using any of the Pilot Program inspection tools, the Post-Inspection Survey Tool must be accessed and the questionnaire completed within 24 business hours.

The procedure for using the Post-Inspection Survey Tool is described in the table below.

Step	Action
1	The LPA completes an inspection using the Pilot Program inspection tools in FAS.
2	When the inspection has been completed, the LPA selects the Post-Inspection Survey Tool tab in the FAS pilot tools interface, which displays the Post-Inspection Survey Tool electronic form.
3	The Post-Inspection Survey Tool form is completed and saved, within 24 business hours, which keeps the LPAs responses grouped in FAS with the particular inspection the LPA completed.

Purpose of the Post-Inspection Survey Tool

The Post-Inspection Survey Tool is designed to capture data from Licensing Program Analysts that is used to identify

- overall **effectiveness** of the Pilot Program tools and methods
- overall **efficiency** of the Pilot Program tools and methods
- specific areas of improved or impacted performance comparing the Pilot Program tools to existing procedures, and
- anecdotal data which may give special insight into the situational functionality of the Pilot Program components.

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1-106: Post-Inspection Survey Tool, Continued

Example: The graphic below shows a portion of the post-inspection survey.
Post-Inspection Survey Tool

5. Compared to previous inspection methods, how would you rate the **effectiveness** of the new inspection tool (e.g., its success in supporting a thorough inspection)?

☐ Very effective
☐ Somewhat effective
☐ Not very effective
☐ Not effective

6. Compared to previous inspection methods, how would you rate the **efficiency** of the new inspection tool (e.g., your ability to complete the inspection with the least waste of time or effort)?

☐ Very efficient
☐ Somewhat efficient
☐ Not very efficient
☐ Not efficient

7. Did the regulations within the following domains support a thorough and comprehensive review of the subject area(s)?

Domain	Very thorough	Thorough	Not thorough enough	Not Thorough
Operational Requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physical Plant/Environmental Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staffing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Example notes: Post-Inspection Survey Tool The table below describes items highlighted in the *Post-Inspection Survey Tool* graphic, above.

Item	Description
A: questions	Survey questions seek to obtain data on the Pilot Program tools and methods used during the inspection.
B: responses	<ul style="list-style-type: none"> For most questions, possible responses are a range of four selections. For certain questions, free-form text entry is solicited. In these cases, clicking the indicated link will produce a pop-up textbox so that the response may be entered.

Part 2

Procedures and Scripts

Overview

In Part 2

Part 2 describes the new tools, scripts, and methodologies designed to make the inspection process more consistent and efficient for the Licensing Program Analyst.

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Chapter 2

Inspection Tools and Forms

Overview

In this chapter Chapter 2 introduces the new inspection tools and gives step-by-step instruction for their use. New and altered forms are also covered.

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2-100: The Pilot Program Inspection Tools

Overview

In this section This section describes the Pilot Program's eleven licensing domains, the new inspection tools and their use.

About the new domains and tools The Pilot Program inspection tools organize statute and regulatory requirements into eleven licensing domains. The Pilot Program tools are different from the current Key Indicator Tools (KITs) in that they help provide a more encompassing view of the compliance of a facility.

Types of inspection tools Thirteen inspection tools have been developed for use in the Pilot Program. The table below identifies these tools.

Pilot Program Inspection Tools	Description
<ul style="list-style-type: none"> • Pre-Licensing Tool • Comprehensive Tool 	Each tool contains extensive requirements in the domains that are relevant to the type of inspection.
Eleven Specialty Tools (one for each domain)	Each tool contains the vast majority of requirements in its respective domain.

Contents

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2-101: Domains

Purpose This section introduces the eleven licensing domains and their use in the Pilot Program inspection tools.

Domains For the Pilot Program inspection tools, licensing requirements are organized into eleven domains. The graphic below shows all of these domains.

Note: The domains are numbered for easy reference, but are not in a particular order. In an inspection, they may be completed in whatever order seems most productive for each situation.



Continued on next page

2-101: Domains, Continued

Where do the domains come from?

The eleven licensing domains have been derived from

- the article titles within the California Code of Regulations, Title 22, Division 6, Chapter 8 – Residential Facilities for the Elderly, and
- priority target areas identified by the Community Care Licensing Division and stakeholders.

For more information on the licensing domains, see [PIN 18-03-CCLD](#).

Describing the domains

The table below lists the domains, and gives some examples of the areas that each domain covers.

Domain	Sample Areas of Domain
1: Physical Plant/ Environmental Safety	<ul style="list-style-type: none"> • Capacity and Ambulatory Status • Maintenance and Operation • Storage Space • Telephone Service, and • Personal Accommodations and Services.
2: Operational Requirements	<ul style="list-style-type: none"> • Plan of Operation • Liability Insurance • Fire Clearance • Reporting Requirements, and • Safeguarding Resident Cash, Property and Valuables.
3: Staffing	<ul style="list-style-type: none"> • Excluded Persons • Administrator Presence • Sufficient Staffing • Night Supervision, and • Personnel in Good Health.
4: Personnel Records/Staff Training	<ul style="list-style-type: none"> • Criminal Record Clearance/Exemption • Personnel File • General Training Requirements, and • Initial and Annual Training.
5: Resident Records/Incident Reports	<ul style="list-style-type: none"> • Resident Records • Admission Agreement, and • Register of Residents.

Continued on next page

2-101: Domains, Continued

Describing the domains, continued

The table below lists the domains, and gives some examples of the areas that each domain covers.

Domain	Sample Areas of Domain
6: Resident Rights/ Information	<ul style="list-style-type: none"> • Resident Rights Posted • Resident Rights • Visiting Policy • Resident Council, and • Complaint/Emergency Contact Poster.
7: Planned Activities	<ul style="list-style-type: none"> • Community-centered Activities • Notice of Planned Activities, and • Activity Staff.
8: Food Service	Food Service – General Requirements.
9: Residents with Special Health Needs	<ul style="list-style-type: none"> • Acceptance and Retention Limitations • Prohibited Health Conditions • Restricted Health Conditions • Residents with Diagnosis of Dementia • Hospice Care Waiver • Mental Condition, and • Automated External Defibrillator [AED].
10: Incidental Medical and Dental	<ul style="list-style-type: none"> • Plan for Incidental Medical and Dental Care • First Aid Kit • Emergency Care, and • Criteria for Centrally Stored Medications.
11: Disaster Preparedness	Emergency Plan/Disaster and Mass-Casualty Plan.

The inspection tools

There are two main comprehensive inspection tools used in the Pilot Program, as described in the table below.

Tool	Description
Pre-Licensing	Used for the pre-licensing inspection.
Comprehensive	Used for the <ul style="list-style-type: none"> • post-licensing inspection, and • annual inspection.

Continued on next page

2-101: Domains, Continued

Use of domains

While all the state licensing requirements contained in each tool are organized by domain, all eleven domains are **not** necessarily present in every tool.

Example: The Pre-Licensing Tool does not include anything in the Resident Records/Incident Reports domain. Since there are no residents in the facility when the Pre-Licensing Tool is used to conduct an inspection, there is no need to include that domain as part of the Pre-Licensing Inspection Tool.

Overlapping domains

Some requirements in the inspection tools are listed more than one time (the same requirement is in a second location). The table below shows how to address this situation.

When ...	Then ...
there is one violation of the requirement, and a citation is warranted	the Licensing Program Analyst (LPA) documents this in the first location of the requirement.
encountering the same requirement in a second location	the LPA documents at the second location that there is noncompliance, but does not issue a citation. A brief explanation may be added in the Notes section of the tool item.

Before finalizing the results of an inspection, the LPA should

- review citations for which a violation may have been found more than once in that inspection, and
- eliminate duplicate citations before transferring tool data onto the report forms.

Note: If different violations caused a particular statute or regulation to be cited in duplication in different domains, the instance of the citation transferred to the LIC 809 (or other form) may be manually edited after transfer to include some narrative from the other deficiency which referenced that same statute or regulation.

Continued on next page

2-101: Domains, Continued

Using the Specialty Tools

For both the Pre-Licensing Tool and Comprehensive Tool, common and important requirements to be checked are grouped together in the tool by domain. However, on the Comprehensive Tool, an ***in-depth*** inspection within a given domain may be triggered by certain criteria.

When an in-depth inspection is triggered, it will

- pertain to the domain that triggered it, and
- be performed using that domain's Specialty Tool.

See 2-103: The Specialty Tools for more information on how an in-depth inspection is triggered, and how it contributes to the completion of the overall inspection.

2-102: The Inspection Tools

What are the inspection tools?

The comprehensive tools are the main tools used in the Pilot Program to conduct facility inspections. They consist of the

- Pre-Licensing Tool, and
- Comprehensive Tool.

What is the Pre-Licensing Tool?

Pre-licensing inspections are scheduled with the applicant and conducted prior to licensure to ensure the facility meets licensing requirements. The **Pre-Licensing Tool** is used to conduct a pre-licensing inspection.

What is the Comprehensive Tool?

A post-licensing inspection is an unannounced inspection of a licensed facility conducted within 90 days after the facility accepts its first resident.

Randomly chosen facilities that are due to receive an annual inspection are given a comprehensive inspection to ensure they are operating in compliance with state licensing statutes and regulations.

The post-licensing inspection and the comprehensive inspection are both conducted using the **Comprehensive Tool**.

Private or public operation of facilities

There is a difference in the licensing requirements applicable for privately and publicly operated facilities in the **6: Resident Rights/ Information domain** of which the Licensing Program Analyst must be aware when using the inspection tools, as shown on the table below.

If ...	Then ...
the facility is publicly operated	only regulations shown in the inspection tool are checked for.
the facility is privately operated	both the regulations shown in the inspection tool and statute Health and Safety Code Section 1569.265 must be checked for.

Use of the Residents Rights/ Information domain

When using the 6: Resident Rights/Information domain in the Comprehensive Tool, the Licensing Program Analyst must determine if the facility is privately operated. This determines the applicability of Health and Safety Code Section 1569.265.

Continued on next page

2-102: The Inspection Tools, Continued

Example: inspection tool

The graphic below shows part of a Pilot Program inspection tool (in this case, the Comprehensive Tool). Both the Pre-Licensing and the Comprehensive Tools have a similar look and functionality.

Requirement		Physical Plant/Environmental Safety	Clear	In Compliance?			Deficiency Type				Notes
Type	Section	Regulation/Statute Language		Yes	No	N/A	Type A	Type B	TV	TA	
HSC	1569.32	Any duly authorized officer, employee, or agent of the department may, upon presentation of proper identification, enter and inspect any place providing personal care, supervision, and services at any time, with or without advance notice, to secure compliance with, or to prevent a violation of, this chapter.									
CCR	87755(c)	(c) The licensing agency shall have the authority to inspect, audit, and copy resident or facility records upon demand during normal business hours. Records may be removed if necessary for copying. Removal of records shall be subject to the requirements in Sections 87412(f), 87506(d), and 87508(b).									
CCR	87113	The license shall be posted in a prominent location in the licensed facility accessible to public view.									
HSC	1569.311	Every residential care facility for the elderly shall have one or more carbon monoxide detectors in the facility that meet the standards established in Chapter 8 (commencing with Section 13260) of Part 2 of Division 12. The department shall account for the presence of these detectors during inspections.									
CCR	87303(a)	The facility shall be clean, safe, sanitary and in good repair at all times. Maintenance shall include provision of maintenance services and procedures for the safety and well-being of residents, employees and visitors.									
CCR	87303(a)(1)	(1) Floor surfaces in bath, laundry and kitchen areas shall be maintained in a clean, sanitary, and odorless condition.									
CCR	87303(b)	(b) A comfortable temperature for residents shall be maintained at all areas.									
CCR	87303(b)(1)	(1) The facility shall heat rooms that residents occupy to a minimum of 68 degrees F, (20 degree C).									

Phys Plant & Environment Safety Operational Requirements Staffing Personnel Records-Training Resident Rec-Incident Reports Resident Rights-Inf

Example notes: inspection tool

The table below describes items highlighted in the *inspection tool* graphic, above.

Item	Description
A: statute/regulation number	Health and Safety Code (HSC) or California Code of Regulations (CCR) requirements by section and subsection number.
B: statute/regulation language	Text of the HSC or CCR requirement.
C: clear button	The entire sheet can be cleared and returned to its default settings by selecting the Clear button.
D: in compliance?	Checkboxes for <ul style="list-style-type: none"> • “yes” • “no”, or • “N/A” (not applicable).

Continued on next page

2-102: The Inspection Tools, Continued

Example notes: inspection tool, continued

The table below describes items highlighted in the *inspection tool* graphic, above.

Item	Description
E: deficiency type	<p>Checkboxes for</p> <ul style="list-style-type: none"> • “Type A” violation • “Type B” violation • “TV” (technical violation), or • “TA” (technical assistance). <p>On the Comprehensive Tool, one Type A violation or two Type B violations will trigger an in-depth inspection and use of a Specialty Tool.</p>
F: notes	Room for brief notes by the Licensing Program Analyst.
G: domains tabs	Each required domain has its own tab at the bottom of the screen. Each tab must be completed for the inspection tool to be completed.

Triggering an in-depth inspection

While using the Comprehensive Tool, working within any given domain, the Specialty Tool for that domain is used to conduct the required in-depth inspection, if

- one Type A violation is found, or
- two Type B violations are found in that single domain.

See 2-103: The Specialty Tools for more information on performing the in-depth inspection process.

See the Evaluator Manual, 3-4000: Reference Material for Facility Inspection for more information on identifying and citing Type A and Type B violations.

Multiple pre-licensing inspections

During the pre-licensing period, if multiple inspections are needed to verify that the facility has made the corrections required to meet licensing standards, each inspection is counted as a pre-licensing inspection, and is completed using a separate Pre-Licensing Tool.

Continued on next page

2-102: The Inspection Tools, Continued

Post-licensing requirements: the licensee

During the post-licensing period, the licensee must notify the department, within **five** business days after accepting the facility's first resident for placement, that the facility has commenced operation. The post-licensing inspection must then be conducted within 90 days.

When conducting a post-licensing inspection, the Licensing Program Analyst must inspect the facility to

- evaluate compliance with statutes and regulations, and
- assess the facility's continuing ability to meet requirements.

Licensee requests for a copy of the completed inspection

If a licensee requests a copy of the completed inspection as shown in the inspection tool, the Licensing Program Analyst may follow the steps in the table below to provide the licensee with a PDF file copy.

Step	Action
1	Right-click on the current worksheet tab and choose "Select All Sheets" from the contextual menu. This ensures the entire tool is captured in the copy.
2	Optionally, hold <i>Ctrl</i> and deselect the Summary tab so that only the eleven domains are printed.
3	Select the File menu and choose "Print" from the side column of the menu screen.
4	In the Print menu screen <ul style="list-style-type: none"> • set "Microsoft Print to PDF" as the destination printer • set orientation to "Landscape" • set scaling to "Fit All Columns on One Page", and • in the Page Setup panel, choose Header/Footer and set the footer dropdown menu to "Page 1 of ?".
5	Click "Print" to save the document as a PDF file.
6	Provide the licensee with the PDF file, via email or some other convenient delivery method.

Printing assistance

For Pilot Program assistance with printing out the completed inspection tool, contact Wendy Tsan at

- wendy.tsan@dss.ca.gov, or
- (916) 653-1275.

Continued on next page

2-102: The Inspection Tools, Continued

**Using the
inspection
tools in FAS**

For more detailed information on use of the Pre-Licensing and Comprehensive Tools in the Field Automation System (FAS), see the FAS Inspection Tool Manual in the attached Operating Manual Support Materials.

2-103: The Specialty Tools

What are the Specialty Tools?

When an in-depth inspection in a given domain is triggered while conducting a Pilot Program inspection using the Comprehensive Tool, the **Specialty Tool** for that domain is used to conduct the required in-depth inspection.

There are eleven Specialty Tools available, one for each domain:

- 1: Physical Plant/Environmental Safety
- 2: Operational Requirements
- 3: Staffing
- 4: Personnel Records/Staff Training
- 5: Resident Records/Incident Reports
- 6: Resident Rights/Information
- 7: Planned Activities
- 8: Food Service
- 9: Residents with Special Health Needs
- 10: Incidental Medical and Dental, and
- 11: Disaster Preparedness.

Private or public operation of facilities

There is a difference in the licensing requirements applicable for privately and publicly operated facilities in the **Resident Rights/Information domain** of which the Licensing Program Analyst must be aware when using the Specialty Tool for this domain, as shown on the table below.

If ...	Then ...
the facility is publicly operated	only regulations shown in the inspection tool are checked for.
the facility is privately operated	both the regulations shown in the inspection tool and statute Health and Safety Code Section 1569.265 must be checked for.

Use of the Residents Rights/Information Specialty Tool

When using the Resident Rights/Information Specialty Tool, the Licensing Program Analyst must determine if the facility is privately operated. This will determine the applicability of Health and Safety Code Section 1569.265.

Continued on next page

2-103: The Specialty Tools, Continued

Pre-Licensing and the Specialty Tools

None of the Specialty Tools are used as part of a Pre-Licensing inspection, since citations are not written until after a facility is licensed and has begun to accept residents.

Only the use of the Comprehensive Tool can in turn trigger the use of a Specialty Tool for a given domain.

Completing a domain for which a Specialty Tool was triggered

When a Specialty Tool is triggered for a domain during use of a Comprehensive Tool, it expands the number of items to be checked in that domain to create a more detailed list of requirements.

Once a domain is completed in which a Specialty Tool was triggered, the Licensing Program Analyst proceeds to the next domain in the Comprehensive Tool to continue with the inspection.

Triggering a Specialty Tool

The table below shows the process for the triggering and use of a Specialty Tool while conducting an inspection.

Step	Action
1	An inspection is being conducted using the Comprehensive Tool.
2	The Licensing Program Analyst (LPA) finds one Type A violation or two Type B violations in one of the domains, triggering an in-depth inspection in that domain.
3	The Specialty Tool for the triggered domain is completed.
4	Once that Specialty Tool is complete, inspection of that domain is complete and the LPA proceeds by moving to the next domain on the Comprehensive Tool.
5	If another one Type A or another two Type B violations is indicated in a different domain, that domain's Specialty Tool will be triggered, as in Steps 2-4. Note: If two Type B violations are cited, but they are not in the same domain, then use of a Specialty Tool is not triggered. Only two Type B violations in the same domain can trigger the use of that domain's Specialty Tool.
6	When the Comprehensive Tool and all triggered Specialty Tools are complete, then use of the inspection tools for that inspection is concluded.

Continued on next page

2-103: The Specialty Tools, Continued

More than one Type A violation in the same domain

If more than one Type A violation is discovered in the same domain, it will not trigger the use of the associated Specialty Tool again, since an in-depth inspection has already expanded the Specialty Tool additions in that domain.

Example: The table below illustrates the principle of only triggering a Specialty Tool once per domain per inspection.

Step	Action
1	While using the Comprehensive Tool to complete a facility inspection, the Licensing Program Analyst (LPA) finds a Type A violation in the Food Service domain.
2	The Food Service Specialty Tool expands, adding items to the Food Service tab, so that an in-depth inspection of the facility's food service requirements may be conducted.
3	The first food service Type A violation is cited on the Facility Evaluation Report (LIC 809D).
4	If additional Type A or B violations are found in the Food Service domain while completing the Specialty Tool items, they are also cited on the LIC 809D form.
5	Having completed the Food Service Specialty Tool, the Licensing Program Analyst continues the inspection by moving to the next domain tab. If the Food Service Specialty Tool was properly completed, all citable food service violations have been uncovered.

Supporting the licensee

Use of a Specialty Tool is not primarily a means to expedite further citation-writing. Instead, it is an opportunity for the Licensing Program Analyst to provide in-depth technical support to the licensee in a given domain where serious deficiency has been found.

Continued on next page

2-103: The Specialty Tools, Continued

Example: Specialty Tool

Each of the Specialty Tools expands the number of items to be checked in its parent domain. The graphic below shows part of the 4: Personnel Records/Training Specialty Tool.

Type	Section	Regulation/Statute Language	Tool	Yes	No	N/A	Type A	Type B	TV	TA	Notes
HSC	1569.625(c)(6)	(6) Building and fire safety and the appropriate response to emergencies.									
HSC	1569.625(c)(7)	(7) Dementia care, including the use and misuse of antipsychotics, the interaction of drugs commonly used by the elderly, and the adverse effects of psychotropic drugs for use in controlling the behavior of persons with dementia.									
HSC	1569.625(c)(8)	(8) The special needs of persons with Alzheimer's disease and dementia, including nonpharmacologic, person-centered approaches to dementia care.									
HSC	1569.625(c)(9)	(9) Cultural competency and sensitivity in issues relating to the underserved, aging, lesbian, gay, bisexual, and transgender community.									
CCR	87411(c)(1)	(1) Staff providing care shall receive appropriate training in first aid from persons qualified by such agencies as the American Red Cross.									
CCR	87411(c)(4)	(4) All training shall be conducted by a person who is knowledgeable in a subject that is relevant to the subject area in which training is to be provided, and who satisfies at least one of the following criteria related to education and experience:	YES								
CCR	87411(c)(4)(A)	(A) Both a four-year college degree, graduate degree or professional degree, and two (2) years of experience in an area relevant to caring for the needs of the elderly, or	YES								
CCR	87411(c)(4)(B)	(B) License to work as a health care provider in California, or	YES								
CCR	87411(c)(4)(C)	(C) At least two years of experience in California as an administrator of an RCFE, within the last eight years, and with a record of administering facilities in substantial compliance, as defined in Section 87101(s).	YES								
CCR	87411(c)(6)	(6) The licensee shall maintain documentation pertaining to staff training in the personnel records, as specified in Section 87412(c)(2). For on-the-job training, documentation shall consist of a statement or notation, made by the trainer, of the content covered in the training. Each item of documentation shall include a notation that indicates which of the criteria of Section 87411(c)(3) is met by the trainer.	YES								
HSC	1569.626(a)	(a) All residential care facilities for the elderly shall meet the following training requirements, as described in Section 1569.625, for all direct care staff:									

Example notes: Specialty Tool

The table below describes items highlighted in the *Specialty Tool* graphic, above.

Item	Description
A: statute/regulation number	Health and Safety Code (HSC) or California Code of Regulations (CCR) requirements by section or subsection number.
B: statute/regulation language	Text of the HSC or CCR requirement.
C: Specialty Tool additions	If an in-depth inspection is triggered, additional Specialty Tool items will appear within the Comprehensive Tool in that domain tab, with rows shaded in yellow.
D: Specialty Tool row indicator	A "YES" entry in this column indicates the item in that row is a Specialty Tool item.

Continued on next page

2-103: The Specialty Tools, Continued

**Example
notes:
Specialty Tool,
continued**

The table below describes items highlighted in the *Specialty Tool* graphic, above.

Item	Description
E: in compliance?	Checkboxes for <ul style="list-style-type: none">• “Yes”, and• “No”
F: deficiency type	Checkboxes for <ul style="list-style-type: none">• “Type A” violation• “Type B” violation• “TV” (technical violation), or• “TA” (technical assistance).
G: notes	Room for brief notes by the Licensing Program Analyst.
H: domains tabs	The tab of the Specialty Tool’s domain (prefixed with an “S”) appears at the bottom of the screen, displayed adjacent to the main inspection tool’s other domain tabs. It remains active until the in-depth inspection in that domain is complete.

**Using the
Specialty
Tools in FAS**

For more detailed information on use of the Specialty Tools in the Field Automation System (FAS), see the FAS Inspection Tool Manual in the attached Operating Manual Support Materials.

2-200: Documents and Forms

Overview

In this section This section explains new or revised inspection documents and forms that are part of the Pilot Program.

Using the Pilot Program forms For more detailed examples of the documents and forms discussed in this section, see the attached Operating Manual Support Materials.

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2-201: Facility Evaluation Report (LIC 809D)

Purpose This section describes changes to the “deficiencies” form of the Facility Evaluation Report (LIC 809D) in the Pilot Program.

What is the Facility Evaluation Report (LIC 809)? The ***Facility Evaluation Report (LIC 809)*** is the form used by a Licensing Program Analyst to record the narrative of a **non-complaint** licensing inspection. The LIC 809D is the form used in FAS specifically to detail deficiencies, citations and Plans of Correction in conjunction with a LIC 809 report.

What is the LIC 809D? The ***LIC 809D*** is the form used in FAS specifically to detail deficiencies, citations and Plans of Correction in conjunction with a Facility Evaluation Report (LIC 809).

Changes to the LIC 809D form For the Pilot Program, the changes to the LIC 809D form are shown in the table below. Much of the new functionality applies specifically to the electronic FAS version of the form.

With the current LIC 809D ...	On the revised LIC 809D ...
room for writing up each deficiency and its Plan of Correction is constrained.	the layout of the LIC 809D in FAS is revised to allow more room horizontally for including regulation language, Statement of Deficient Practice, and Plan of Correction.
in FAS, statutory/regulatory language must be entered for each deficiency.	in FAS, statutory/regulatory language will be automatically entered into the LIC 809D when a Type A or Type B violation is selected in the inspection tool.
in FAS, Narrative and Statement of Deficient Practice text must be entered manually.	in FAS, notes and Principles of Documentation template text are transferred to the Narrative and Statement of Deficient Practice areas of the LIC 809 and LIC 809D forms, and may be edited there after transfer.

Continued on next page

2-201: Facility Evaluation Report (LIC 809D), Continued

Populating the LIC 809 with the inspection tool data

When the Licensing Program Analyst (LPA) uses the Pilot Program inspection tools, information from the tools can be automatically entered into the appropriate areas of the Facility Evaluation Report (LIC 809 and LIC 809D), by clicking the “Complete Inspection” button on the LIC 809 form in FAS. The placement of the transferred information is indicated in the table below.

Note: To ensure accuracy in the report, the LPA may edit any narrative or Deficient Practice Statement text that has been transferred to the LIC 809 or LIC 809D from the tools.

Inspection Tool Data	Data is entered into ...
Notes entered into the tool	the narrative box on the LIC 809.
Statutory/Regulatory Reference	the “Section Cited” field on the LIC 809D.
Language of the referenced statute or regulation	the large “Citation” textbox on the LIC 809D.
Principles of documentation template	the Deficient Practice Statement on the LIC 809D.

Inspection data may be public

Important! Licensing Program Analysts (LPAs) should be aware that notes and other data entered in the inspection tools will be available to the public. This can occur because

- the LIC 809 is a public form, and is ultimately filed in the public section of the facility file
- data entered into the inspection tools automatically populates into the Facility Evaluation Report (LIC 809 and LIC 809D) forms, and
- copies of the completed inspection tool(s) may be provided to licensees upon request, at which point the information in the tool must be considered public.

Therefore, LPAs should take care that confidential information not be entered into either the tools or the publicly-filed inspection documents when conducting an inspection.

Continued on next page

2-201: Facility Evaluation Report (LIC 809D), Continued

**Example:
revised
LIC 809D**

The graphic below shows the top of the Pilot Program's revised Facility Evaluation Report deficiencies page (LIC 809D) in FAS.

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY
CALIFORNIA DEPARTMENT OF SOCIAL SERVICES
COMMUNITY CARE LICENSING DIVISION
CCLD Regional Office, 1700 5TH STREET, FOURTH FLOOR
SACRAMENTO, CA 95814

FACILITY EVALUATION REPORT (Cont)

FACILITY NAME: MINNIE MOUSE RCFE

DEFICIENCY INFORMATION FOR THIS PAGE:

FACILITY NUMBER: 193600003

VISIT DATE: 05/08/2018 16

THIS FORM IS FOR DEFICIENCIES ONLY!
Do not enter more than 4 lines in each input box for this section, on this page.

DEFICIENCIES & PLANS OF CORRECTION (POCs) A

	Section Cited	
		Add Citation
B		
Deficiency Practice Statement		
1 2 3 4	C	
POC Due Date: 16		
Plan of Correction		
1 2		

D
←

**Example
notes: revised
LIC 809D**

The table below details items highlighted in the *revised LIC 809D* graphic, above.

Item	Description
A: citation issued	Deficiency type, date, and statutory/regulatory reference.
B: statute/regulation language	The specific language of the cited statutory/regulatory reference.
C: deficient practice statement	The specific facts/findings which support citation of the deficiency.
D: Plan of Correction	The written Plan of Correction for the associated cited deficiency.

2-202: Advisory Notes (LIC 9102)

Purpose This section describes changes to the Advisory Notes (LIC 9102) form in the Pilot Program.

What is the Advisory Notes (LIC 9102) form? **Advisory Notes (LIC 9102)** is the form used by a Licensing Program Analyst to record technical violations and/or technical assistance. The information for these observations is provided to the licensee to make them aware of minor issues of noncompliance before these issues become citable deficiencies.

Changes to the LIC 9102 form For the Pilot Program, the changes to the Advisory Notes (LIC 9102) are shown in the table below.

With the current LIC 9102 ...	On the revised LIC 9102 ...
the form layout is designed for providing freeform written consultation for licensees.	the layout captures specific information (technical violations or technical assistance) by type, and is specifically used to record any minor issue of noncompliance that is not cited.
the form is filed in the confidential section of the facility file and may contain confidential information.	the form is filed in the public section of the facility file and is considered a public document (although not posted to the transparency website). Confidential information must not be included in the form.
in FAS, the LIC 9102 can be accessed and linked to the Facility Evaluation Report (LIC 809) form used to conduct the inspection.	in FAS, the LIC 9102 form can also be generated directly from the inspection tool by selecting “TV” or “TA” next to a given inspection item.
the form must be filled in manually.	in FAS, statutory/regulatory language will be automatically entered into the LIC 9102 form when “TV” or “TA” is selected next to a given inspection item in the inspection tool or Specialty Tool.

Continued on next page

2-202: Advisory Notes (LIC 9102), Continued

**Example:
revised
LIC 9102**

The graphic below shows the top of the Pilot Program's revised Advisory Notes (LIC 9102) form.

For Technical Violation you must complete the Domain, Section Cited and Regulation Language.
After you click OK, you can still edit them by clicking directly on the "Add Advisory" button prior to clicking
anywhere else on the 9102 form.

You can edit the Comments section directly on the 9102 form anytime before Final Print.

The form contains the following fields and annotations:

- A:** Points to the radio buttons for "Technical Assistance" (selected) and "Technical Violation".
- B:** Points to the "Domain" dropdown menu, which is open showing a list of domains including Physical Plant/Environmental Safety, Operational Requirements, Staffing, Personnel Records/Staff Training, Resident Records/Incident Reports, Resident Rights/Information, Planned Activities, Food Service, Residents with Special Health Needs, Incidental Medical and Dental, and Disaster Preparedness.
- C:** Points to the radio buttons for "CCR", "HSC", and "ILS".
- D:** Points to the "Section Cited" text field.
- E:** Points to the large text area for "Comments".
- F:** Points to the bottom of the "Comments" text area.

**Example
notes: revised
LIC 9102**

The table below details items highlighted in the *revised LIC 9102* graphic, above.

Item	Description
A: information type	<p>Either a "Technical Violation" or "Technical Assistance" may be recorded in each entry on the form, as follows:</p> <ol style="list-style-type: none"> 1. One of these boxes ("TV" or "TA") must be checked beside an inspection item on the Inspection Tool or a Specialty Tool. 2. Doing this populates the LIC 9102 form with relevant information from the item for which the technical violation or technical assistance will be given.

Continued on next page

2-202: Advisory Notes (LIC 9102), Continued

**Example
notes: revised
LIC 9102,
continued**

The table below details items highlighted in the *revised LIC 9102* graphic, above.

Item	Description
B: domain	<ul style="list-style-type: none"> When information is transferred from an inspection tool, the domain in which the “TV” or “TA” was selected will be transferred as well. If technical assistance is provided outside of a specific item in the tools, the domain to which it applies may be manually selected from a dropdown list.
C: authority source	<ul style="list-style-type: none"> “CCR” is selected for Title 22 regulations, “HSC” for the Health and Safety Code (the “ILS” entry is for future use).
D: section cited	The section/subsection number of the cited authority.
E: section text	The language of the statute or regulation associated with the form entry; like other items in the form, this is automatically supplied upon transfer from the inspection tool.
F: comments	<p>Text is entered manually or transferred automatically from notes in the inspection tool, to supply</p> <ul style="list-style-type: none"> narrative of the particular circumstances that has lead to this technical violation or technical assistance, and additional information explaining the concern and why the technical violation or technical assistance was issued.

**Technical
violations and
technical
assistance**

For more information on identifying and documenting technical violations and technical assistance, see the Evaluator Manual

- 3-3000: Reference Material for Documentation, and
- 3-4000: Reference Material for Facility Inspection.

2-203: Facility Inspection Checklist (LIC 9123)

Purpose This section describes changes to the Facility Inspection Checklist (LIC 9123) form in the Pilot Program.

What is the Facility Inspection Checklist (LIC 9123)? The ***Facility Inspection Checklist (LIC 9123)*** is used by the Licensing Program Analyst to ensure that the Regional Office facility file is up to date and outstanding components of a facility inspection have been completed.

Changes to the LIC 9123 form For the Pilot Program, the changes to the Facility Inspection Checklist (LIC 9123) are shown in the table below.

With the current LIC 9123 ...	On the revised LIC 9123 ...
using the form is optional.	using the form is required.
there is no way to indicate whether the form was used in conjunction with a pre-licensing, post-licensing, or annual inspection.	the type of inspection being conducted can be selected at the top of the form.
tracking of items is strictly by date submitted to the licensing agency.	items can be tracked by date submitted to the Regional Office, whether the item needs checking at the facility, and the date the submitted item was actually received at the Regional Office.
there is no room for notation beside each item on the list.	there is space for brief notations beside each item on the list.

Licensing Date on the LIC 9123 The ***Licensing Date*** for a facility is the date the facility is originally licensed, which will be recorded in the facility file. On the Facility Inspection Checklist (LIC 9123), the numerical month and day of this date will be entered near the top of the form next to "Licensing Anniversary Date".

Continued on next page

2-203: Facility Inspection Checklist (LIC 9123), Continued

**Example:
revised
LIC 9123**

The graphic below shows part of the Pilot Program's revised Facility Inspection Checklist (LIC 9123).

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY		CALIFORNIA DEPARTMENT OF SOCIAL SERVICES COMMUNITY CARE LICENSING	
PRE/COMPREHENSIVE LICENSING FACILITY INSPECTION CHECKLIST RESIDENTIAL CARE FACILITY FOR THE ELDERLY			
Review Regional Office (RO) facility file prior to inspection. During the inspection of the facility (FAC), check to see that the following documents are updated and contained in the licensee's facility file. Indicate the date the information was submitted to the RO in the space provided. The FAC column below is for the Licensing Program Analyst (LPA) to indicate those items which require follow-up at the facility. This form is for internal use but is still subject to the Public Records Act.			
<input type="checkbox"/> Pre <input type="checkbox"/> Comprehensive License Anniversary Date: _____			
	RO	FAC	Date Submitted
Administrative Organization (LIC 309)*			
Admission Policies and Procedures/Admission Agreement***			
Affidavit Regarding Client/Resident Cash Resources (LIC 400)*			
Articles of Incorporation or organization Constitution and Bylaws (if applicable)	D	E	F
Bacteriological Analysis of Private Water Supply (if applicable)			
Control of Property			
Criminal Record Clearance (LIC 555) (updated for current staff subject to fingerprint requirements) **			

**Example
notes: revised
LIC 9123**

The table below details items highlighted in the *revised LIC 9123* graphic, above.

Item	Description
A: Pre and Comprehensive	The appropriate box should be checked to indicate if the form is being used in conjunction with a <ul style="list-style-type: none"> • Pre-Licensing inspection, or • Comprehensive inspection.
B: License Anniversary Date	For a Comprehensive inspection, the numerical month and day of the facility's licensing should entered in the blank.
C: checklist items	This column lists all the items that must be reviewed in the facility file prior to inspecting the facility.

Continued on next page

2-203: Facility Inspection Checklist (LIC 9123), Continued

**Example
notes: revised
LIC 9123,
continued**

The table below details items highlighted in the *revised LIC 9123* graphic, above.

Item	Description
D: RO	In this column, the numerical date when the listed item in question was submitted to the Regional Office is entered.
E: FAC	If a listed item requires checking while the Licensing Program Analyst (LPA) is conducting the inspection at the facility, this box should be marked as a reminder. The heading of this column is simply an abbreviation of the word "FACility".
F: Date Received	The numerical date when the listed item in question was actually received by the Regional Office.
G: Notes	If needed, the LPA can make a brief note beside a checklist item, either before or during the facility inspection.

2-204: Entrance Conference Worksheet

Purpose This section describes the new Entrance Conference Worksheet.

What is the Entrance Conference Worksheet? The ***Entrance Conference Worksheet*** is a new form used by the Licensing Program Analyst (LPA) to track items necessary for review. The worksheet acts as a checklist so that items on the sheet can more easily be collected and reviewed by the LPA.

At the start of an on-site inspection, the LPA begins a new Entrance Conference Worksheet, and provides a copy to the licensee or facility representative to assist in locating all the documents the LPA will require from the facility during the inspection.

Example: Entrance Conference Worksheet The graphic below shows the top of the Pilot Program's Entrance Conference Worksheet.

STATE OF CALIFORNIA – HEALTH AND HUMAN SERVICES		CALIFORNIA DEPARTMENT OF SOCIAL SERVICES COMMUNITY CARE LICENSING	
ENTRANCE CONFERENCE WORKSHEET RESIDENTIAL CARE FACILITIES FOR THE ELDERLY- INSPECTION PILOT PROGRAM			
Upon entrance to the facility, the Licensing Program Analyst (LPA) provides this worksheet to the licensee to help facilitate the inspection. The LPA must complete the worksheet and file it in the Regional Office facility file.			
ITEMS & INFORMATION REQUESTED FROM THE FACILITY			
Facility Name: _____		Inspection Date: _____ to: _____	
Administrator/Designee: _____		Time: _____	
A. INFORMATION REQUESTED FROM THE FACILITY UPON ENTRANCE			
<input type="checkbox"/>	1.	Copy of applicable waivers (i.e., hospice, etc.)	
<input type="checkbox"/>	2.	Copy of Floor Plan	
<input type="checkbox"/>	3.	Register of Residents o Current Census o Number of non-ambulatory/bedridden persons in care o Number of persons in care on hospice	
<input type="checkbox"/>	4.	Personnel Report (LIC 500)*	
<input type="checkbox"/>	5.	Emergency Disaster Plan	
B. INFORMATION REQUESTED FROM THE FACILITY DURING PHYSICAL PLANT INSPECTION			
<input type="checkbox"/>	6.	License	
<input type="checkbox"/>	7.	Licensing reports (last 12 months)	
<input type="checkbox"/>	8.	Personal rights poster (Facilities licensed for seven (7) or more ONLY)	

Continued on next page

2-204: Entrance Conference Worksheet, Continued

**Example
notes:
Entrance
Conference
Worksheet**

The table below details items highlighted in the *Entrance Conference Worksheet* graphic, above.

Item	Description
A: basic information	Data fields in which are entered <ul style="list-style-type: none"> • name of the facility • date(s) the inspection began and ended • name and title of the facility representative who assisted with locating all items required for review, and • time the facility was entered.
B: checkbox	The box beside each item on the list is checked by the Licensing Program Analyst as the item is completed.
C: ordinal count	A sequential numbering of all items on the worksheet, to make referencing of individual items easier and less prone to mistake.
D: items for inspection	Documents that must be reviewed during the on-site facility inspection.

**Using the
worksheet**

The Entrance Conference Worksheet provides a list of items that need to be checked by the Licensing Program Analyst (LPA) in the course of an inspection. The table below outlines the worksheet's use during an inspection.

Step	Action
1	The LPA begins an Entrance Conference Worksheet after arriving at the facility and before beginning the inspection.
2	The Entrance Conference Worksheet shows the various items the LPA will need to verify; using the worksheet should help streamline the inspection process.
3	The LPA provides a copy of the Entrance Conference Worksheet to the licensee or facility representative to assist in locating the documents the LPA needs to review during the inspection.
4	Items on the worksheet are checked off by the LPA, indicating those items have been located and/or provided to the LPA by facility staff.

Chapter 3

Scripted Interactions and Assessments

Overview

In this chapter This chapter contains ready-to-use scripts and assessment systems to aid the Licensing Program Analyst in conducting inspections.

Contents

Topic	See Page
3-100: Scripts and Questions	55

3-100: Scripts and Questions

Overview

- In this section** This section provides scripted assistance to the Licensing Program Analyst, including
- scripts to be used when arriving at or departing a facility, and
 - questions and assessment methods for resident and staff interviews.
-

Contents

Topic	See Page
3-101: Introduction Script	56
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3-103: Staff Interview Questions	60
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3-101: Introduction Script

Purpose The ***Introduction Script*** is used when a Licensing Program Analyst arrives at a facility to be inspected using the Pilot Program methods and tools.

LPA conduct When interacting with licensees, facility staff and the public, the Licensing Program Analyst (LPA) must always

- maintain an attitude of professionalism, and
- provide technical assistance when the opportunity presents itself.

Introduction script The table below shows an introduction that the Licensing Program Analyst may use to greet and inform the licensee or facility representative at the start of a Pilot Program on-site inspection.

Script Section	Script Content
1: greeting	"[Salutation], for the [type of inspection] that I will be conducting at your facility today, I will be using a set of tools and methods that have been developed to improve the efficiency and accuracy of the Department of Social Services' facility inspections."
2: the pilot program	"These new tools and methods are part of an inspection Pilot Program that is being tested in a select number of RCFE facilities during required pre-licensing, post-licensing, and annual inspections. The elements of the Pilot Program that will be used today will collect data to improve the new inspection process before rolling out the improved methods for general use by licensing staff."
3: PIN	"The selection of your facility as a component of this random testing effort is consistent with Provider Information Notice 18-03-CCLD, released in March 2018." [Note: Licensing Program Analyst should provide a copy.]
4: disclaimer	"You should be aware that any deficiencies in regulatory compliance found during this inspection while using the Pilot Program tools and methods may still subject your facility to citation, and that all the usual requirements of state licensing law still apply. After the inspection has been completed, I will provide you with the means to find out more about the Pilot Program and explain how to give optional feedback on the tools used here today."

3-102: Resident Interview Questions

Purpose This section provides questions and a response rating method for resident interviews.

Number of interviews Half of the residents whose records were reviewed in Stage 2 of the inspection must be interviewed, if they are present in the facility at the time of the on-site inspection.

Whenever possible, the resident council president must be included as one of the resident interviews.

Using the resident interview questions When conducting a resident interview, the Licensing Program Analyst (LPA) tracks the interviewee's responses using a scoring system based upon a 5-point Likert scale.

Each of the five questions in this section is designed to elicit a response regarding frequency of some action or gauge the resident's sense of satisfaction. For each question, the LPA asks the resident to help choose one of the five ratings, from "always" to "never".

The response to each question is scored using the scheme in the table below. For a response score of 1, 2 or 3 on any question, the LPA should ask additional questions to determine the circumstances contributing to the resident's response.

Response	Response Score
Always	5
Almost always	4
Sometimes	3
Almost never	2
Never	1

Response card Before beginning a resident interview, the Licensing Program Analyst hands the interviewee an 8-inch by 10-inch **response card**.

The response card assists the interview process by providing the resident with the five possible Likert scale responses that may be given for each of the main interview questions.

Continued on next page

3-102: Resident Interview Questions, Continued

Follow-up questions

Note: The questions in this section are used to initiate a discussion with the resident. The Licensing Program Analyst should ask additional questions to validate findings.

Question 1

This question is in the **Resident Rights/Information** domain.

1. Do staff treat you well?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Question 2

This question is in the **Planned Activities** domain.

2. Do they offer enough activities you want to participate?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Continued on next page

3-102: Resident Interview Questions, Continued

Question 3 This question is in the **Food Service** domain.

3. Are you happy with the food served here?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Question 4 This question is in the **Staffing** domain.

4. Do you feel there is enough staff to assist you?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Question 5 This question is in the **Incidental Medical and Dental** domain.

5. Do staff help you or assist you when you report pain?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

3-103: Staff Interview Questions

Purpose	This section provides questions and response prompts for staff interviews.
Preparing for staff interview	<p>Before questioning staff, the Licensing Program Analyst (LPA) must always first become familiar with the facility's plan of operation.</p> <p>LPAs must keep in mind that issues revealed during interviews may not necessarily lead to a citation, but may result in more detailed questioning in the area of concern.</p>
Number of interviews	Half of the staff whose records were reviewed in Stage 2 of the inspection must be interviewed, if they are present in the facility at the time of the on-site inspection.
Using the staff interview questions	<p>When conducting a staff interview, the Licensing Program Analyst (LPA) evaluates the staff's responses and determines if the provided answers demonstrate competency in the requirements, based upon the associated criteria for each question, as shown below:</p> <ul style="list-style-type: none">• If the staff member demonstrates competency, the LPA marks "Yes".• If the staff member cannot demonstrate competency, the LPA marks "No", and briefly explains why the staff member's competency is deemed inadequate.• The "N/A" response option is reserved for a question that goes unasked, such as when the LPA judges the question inapplicable in a particular staff interview. <p>Note: If the LPA marks "No" to any question, the LPA should ask the staff member for more information about the specific question, such as</p> <ul style="list-style-type: none">• the interviewee's training• related available resources, or• who provides the interviewee with information or direction.
Questions in this section	The nine questions in this section are arranged in sequential order. Each question is shown with its possible response options, and sometimes with supporting material.

Continued on next page

3-103: Staff Interview Questions, Continued

Question 1

This question is in the **Staffing** domain.

1. Where is the plan of care information located?

Staff able to locate?

☐ Yes

☐ No If "No", please explain:

Question 2

This question is in the **Staffing** domain.

2. How do you use the plan of care information?

Staff could describe?

☐ Yes

☐ No If "No", please explain:

Question 3

This question is in the **Residents with Special Health Needs** domain.

3. How do you find out about changes in your residents?

Staff could describe?

☐ Yes

☐ No If "No", please explain:

Question 4

This question is in the **Incidental Medical and Dental** domain.

4. Show or tell me how you assist residents with medications.

Staff could describe?

☐ Yes

☐ No If "No", please explain:

☐ N/A

Continued on next page

3-103: Staff Interview Questions, Continued

Question 5 This question is in the **Personnel Records/Staff Training** domain.

5. Describe some of the personal rights of residents.

Staff could describe?

☐ Yes

☐ No If "No", please explain:

Question 6 This question is in the **Personnel Records/Staff Training** domain.

6. Describe some types of abuse. What would you do if you observed any type of abuse?

Staff could describe?

☐ Yes

☐ No If "No", please explain:

3-104: Closing Statement Script

Purpose Licensing Program Analysts use the suggested ***Closing Statement Script*** when exiting a facility that has been inspected using the Pilot Program methods and tools.

Closing statement script The table below shows a closing statement the Licensing Program Analyst may use to thank the licensee or facility representative and provide options for further information and feedback when a Pilot Program inspection has concluded.

Script Section	Script Content
1: thank you	“On behalf of the California Department of Social Services, I want to thank you for your cooperation and understanding today, as we tested our Pilot Program inspection procedures in your facility. It is our hope that by developing these new methods, we will be better able to conduct consistent and more efficient facility inspections in the future.”
2: questions	“If you have any questions regarding the process or tools that were tested here today, please send them by email to inspectionprocess@dss.ca.gov .”
3: feedback/survey	“If you have feedback regarding the Pilot Program process or tools used to conduct today’s inspection, you will have an opportunity to respond to a survey on this topic, which will be emailed to you.”
4: website	“For additional information regarding the Pilot Program and its tools and methods, please visit the Pilot Program website at www.cdss.ca.gov/inforesources/community-care-licensing/inspection-process .”
